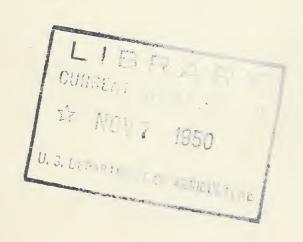
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Guide Guide

### for Use in Handling DISCIPLINARY CASES



Administrative Series 10 30

OFFICE OF PERSONNEL

UNITED STATES DEPARTMENT OF AGRICULTURE

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### INTRODUCTION

This pamphlet has been prepared by the Office of Personnel as a guide for officials of the Department of Agriculture who share

in the responsibility for handling disciplinary cases.

The Department has employees in most counties of the continental United States, as well as in its Territories and possessions, and in many foreign countries. Their duties require them to enforce laws and regulations, to be responsible for the safeguarding and proper expenditure of public funds, to safeguard Government property, to cooperate with and assist producers and others, and to deal with the public generally. The great majority of employees in the Government service are honest, well-behaved, hard-working, conscientious individuals who command the confidence and respect of the public.

However, there may be a small minority of employees who will, for one reason or another, fail to conduct themselves properly or to abide by established policies or procedures. In this category will be those who frequently report late for work or absent themselves from duty without the formality of arranging for their absence, which may disrupt the work of the office. There will also be the occasional employee who falsifies his application for employment or other official record, who violates safety regulations, or who refuses to recognize the authority of his official superior and may refuse to carry out instructions. Occasionally there will be the employee who absents himself from duty because of excessive use of intoxicants or who reports for duty under the influence of intoxicating liquor or drinks on the job.

On rare occasions there will be the employee who commits some dishonest act such as the falsification of reimbursement, payroll, or purchase vouchers. In such cases intent to defraud cannot be the sole factor for consideration—intent to deceive is equally important. In some cases there may be no intent to defraud in the sense of causing the Government monetary loss, but the Government may have been defrauded in a broader sense because of the lost opportunity to audit properly the documents

which have been falsified.

A most unpleasant task of any official is to discipline subordinate employees. Nevertheless, prompt and effective disciplinary action in the cases of employees who willfully violate laws, regulations, or instructions, or who otherwise become involved in deliquency or misconduct, is a necessary and important phase of sound personnel management.

### REASONS FOR DISCIPLINARY ACTIONS

It is important that an employee who becomes involved in delinquency or misconduct be dealt with promptly and adequately, not solely for the purpose of penalizing him, but also for the salutary effect the example may have on other employees who might otherwise commit similar offenses in the belief that they could do so with impunity. The sooner such an employee mends his ways or is eliminated from the service, the sooner the best interests of the Department will be served. Ridding the Department of dishonest employees also renders a service to honest employees by removing suspicion from them.

As a deterrent to other employees, agencies might well give wide publicity to penalties imposed upon their employees for various types of offenses, without, of course, revealing the identity of the individuals involved. It would be helpful also to remind employees that delinquency, immoral conduct, or a dishonest act on the part of one employee reflects adversely, directly or indirectly, upon his fellow employees and upon the public

service.

### RESPONSIBILITY OF SUPERVISORY OFFICIALS

The regulations of the Department require that cases of delinquency or misconduct be reported to the Director of Personnel for action, or that appropriate disciplinary action be taken under delegated authority and reported to him. Supervisors have the responsibility of reporting such cases to the proper official. Appropriate disciplinary action cannot be taken if they evade

this responsibility.

The supervisory official who fails to report delinquency or misconduct, or who fails to take action under delegated authority, because of friendship or for other personal reason, or because he does not agree with the dispositions made of certain cases, is not only evading his responsibility but acting contrary to the regulations and against the best interests of the service. Furthermore, he is doing the Department's employees and himself an injustice. Such officials will themselves be subject to disciplinary action. On the other hand, the official who imposes or recommends an unwarranted penalty because of prejudice or anger, or for other personal reason, loses the respect and confidence of his fellow employees and official superiors, does the employee an injustice, and performs a disservice to the Department.

Employees respect firmness but they expect and are entitled to

fairness. Therefore, it is necessary that officials who administer discipline be firm, fair, impersonal, and free from prejudice. Discipline so administered will strengthen the employees' morale and their respect for the administering official.

### GENERAL INFORMATION

The Manual of Investigative Procedures, issued by the Office of Personnel, will be helpful to those who have personnel investigative and report-writing duties to perform. It is important that officials who have the responsibility of processing disciplinary cases, either under delegated authority or for submission to the Director of Personnel, be familiar with the provisions of chapters 55, 56, and 58, title 8-AR, relative to employee conduct, investigations, and disciplinary actions, and with the provisions of section 14 of the Veterans' Preference Act of 1944 which are set forth in chapter 58. Familiarity with all regulations of the Department concerning the conduct of employees will also be helpful. Although it is not the policy of the Department to restrict or interfere with the private lives of employees, they are expected to conduct themselves at all times so that they will not

cause embarrasment to or criticism of the Department.

Employees involved in trivial infractions may be reprimanded orally by their immediate official superior at the time the infraction occurs. It is important that these reprimands be given in private. If it is believed that the trivial infractions may be continued to the point where additional reprimands or a more severe penalty will be necessary, it is advisable to confirm the oral reprimand by addressing a memorandum to the offending employee, setting forth the reasons for the reprimand and cautioning him regarding his future conduct. The letter of confirmation is not to be construed as an official agency letter of reprimand. (See p. 9 for example.) Copies of such confirmations need not be submitted to the Office of Personnel. If a written confirmation is not made, a memorandum for the files, setting forth the specific act which resulted in the reprimand and the date on which it occurred, will be found of value in the event more severe disciplinary action becomes necessary at some future time.

The suggestions set forth in the preceding paragraph might well be applied, for example, in cases involving tardiness where the employee has no satisfactory explanation. An oral reprimand should be ample penalty for the first offense and no written confirmation would be necessary. However, a memorandum for

the files, setting forth the date and the circumstances, might prove valuable in the future. An oral reprimand may also be sufficient if the employee is tardy on a limited number of additional occasions, but in this event it would be well to confirm the oral reprimand in a memorandum to the employee, and to place a copy thereof in the files. If the offenses continue, a formal agency letter of reprimand (see p. 10 for example) to the employee, setting forth the number of occasions on which he has been tardy and the amount of his tardiness, would be in order. The employee may also be given a disciplinary suspension if the facts warrant such action. If this action is decided upon, permanent employees should, of course, first be furnished a letter of charges and given a reasonable opportunity to submit an answer.

(See p. 11 for example.)

With respect to permanent employees who have completed their probationary periods, disciplinary action permitted under delegated authority is restricted to reprimands and suspensions from duty for limited periods. Agency letters of charges and of reprimand should always be issued in connection with disciplinary suspensions imposed under delegated authority. It is important that all letters of charges and of reprimand describe clearly the improper action. The letter of charges should also state when and where the incident occurred. The letter of reprimand should tell the employee that he will be expected to correct the faults complained of, or to refrain from committing further offenses, and inform him that more drastic disciplinary action will be necessary if he repeats the offense or becomes involved in other types of delinquency or misconduct. It shall also inform him that a copy of the letter of reprimand will be filed in his official personnel folder.

With respect to temporary or to temporary indefinite employees, and employees serving probationary periods, disciplinary action permitted under delegated authority includes removals for cause (delinquency or misconduct), as well as reprimands and suspensions for limited periods. Although letters of charges are not required before the suspension or removal of employees in these categories is effected, Department policy requires that the employee's signed statement admitting, denying, or explaining

the misconduct shall first be obtained and considered.

The action to be taken or recommended in cases involving falsification of applications for employment should, of course, be governed by the seriousness of the falsification. Obviously, a falsification with respect to a point which would have no bearing on the employee's selection is not as serious as a falsifi-

cation with respect to a point which would have raised a

question as to his suitability for selection.

For example, if an applicant falsely claims graduation from college and is appointed to a position in which a college education is not the primary or controlling factor, disciplinary action could properly be limited to a reprimand, or a reprimand and short suspension. On the other hand, if the position is one to which the applicant would not have been appointed had the question been answered truthfully, then removal is indicated.

Another example would be the case of an employee who falsified his application for employment with respect to his arrest record. If the arrest was for a minor offense, such as a traffic violation, and the facts were known at the time of his employment or conversion from a temporary to a permanent or indefinite status, prior approval of the Director of Personnel would not be necessary for his employment or conversion; and if the facts were discovered thereafter, disciplinary action could properly be limited to that which may be taken under delegated authority. If, however, the employee had been arrested on a criminal charge and the facts were known, prior approval of the Director of Personnel for his employment or conversion would be necessary, regardless of whether the arrest resulted in a conviction; and if the facts were discovered thereafter, disciplinary action could not be imposed without prior approval of the Director of Personnel. (See ch. 54, title 8-AR, for policy statement regarding employment or retention of persons with criminal or immoral records.)

If disciplinary action taken under delegated authority is found upon postaudit to be clearly improper, it may be reversed, with resultant embarrassment to the employment officer and to the employee. Therefore, if an official is in doubt as to whether a case may be disposed of by the imposition of a penalty permitted under delegated authority, the proper action would be to submit the facts, through appropriate agency channels, to the Director

of Personnel for advice.

### PROCEDURE FOR HANDLING A DISCIPLINARY CASE

Step 1—Get all the facts

a. Obtain detailed and complete statements of the incident, preferably in writing, by interviewing privately and separately each person who saw or heard what occurred and who therefore has first-hand information.

b. If written statements are not secured, record the information

obtained, during or immediately after each interview.

c. Interview the accused employee and obtain from him a written statement in which he admits, denies, or explains the alleged improper actions.

d. Make every effort to reconcile conflicting statements.

e. Where necessary, examine pertinent records and make written notation of such information therefrom as may have a bearing on the case.

### Step 2—Prepare a report

Prepare a complete, accurate, and unbiased report, setting forth the information obtained. The report should be in narrative form and should relate, under separate subheadings, information obtained regarding each alleged improper action. All persons, places, dates, records, etc., mentioned in the report should be completely identified.

### Step 3—Weigh the evidence

Review the report and weigh the evidence to determine whether the allegation is or is not sustained, and, if it is sustained, whether the offense is one that warrants formal disciplinary action. Doubtful points should be resolved in favor of the employee.

### Step 4—Decide on course of action

If it is decided that disciplinary action is required, determine whether the action can be taken under delegated authority or whether it requires prior approval.

### Step 5—Take or initiate action

a. If the disciplinary action can properly be imposed under delegated authority, process the action promptly, and submit the documents in connection with the case to the Office of

Personnel for use in postauditing.

b. If the case is one which requires prior approval, submit the file through appropriate agency channels to the Director of Personnel, with a review memorandum containing a concise summary of the essential facts in the case and a recommendation for the action believed to be warranted. In all such cases, the file should contain information as to whether the employee is entitled to veteran preference. In cases likely to result in the removal of a veteran-preference employee, the entire file should be submitted in duplicate.

### CONFIRMATION OF VERBAL REPRIMAND

(Tardiness)

To: Jane Doe	
From: ———	(Supervisor)
Subject: Tardiness	•

This memorandum will confirm our conversation of yesterday, during which you were reprimanded for having been tardy on the following occasions without satisfactory explanation:

Date	Amount of Tardiness
April 22	20 minutes
April 28	15 minutes
May 5	10 minutes
May 15	35 minutes

As you were informed during our conversation, it will be necessary to recommend more severe disciplinary action against you unless your practice of reporting late for work is corrected. I hope that such action will not be necessary and that we will have no further cause for complaint regarding your attendance record.

### AGENCY LETTER OF REPRIMAND

(Tardiness)

Miss Jane Doe Clerk-Typist Baltimore, Md.

MADAM: There is before me for consideration a report from your official superior which discloses that on numerous occasions you have been tardy in reporting for duty without satisfactory explanation.

The report discloses that on May 16, 1949, you were orally reprimanded by your official superior for tardiness on the follow-

ing occasions:

Date	Amount of Tardiness
April 22	20 minutes
April 28	
May 5	10 minutes
May 15	35 minutes

The report discloses further that this oral reprimand was confirmed in a memorandum addressed to you on May 17, 1949, in which you were warned that unless you corrected your practice of reporting late for work it would be necessary to recommend more severe disciplinary action against you.

That the oral reprimand and warning did not produce the desired results is evident from the following record of subsequent

tardiness on your part:

Date	Amount of Tardiness
May 27	10 minutes
May 31	
June 3	
June 9	30 minutes

In view of the foregoing, your suspension from duty without pay as a disciplinary measure would be warranted, but it has been decided to limit disciplinary action in your case at this time to this letter of reprimand. You are warned, however, that continued tardiness on your part, without adequate reason, will be considered grounds for the imposition of a more severe penalty.

A copy of this letter will be filed in your official personnel

folder.

Very truly yours,

### AGENCY LETTER OF CHARGES

(Absence From Duty Without Permission)

Mr. John Doe Clerk Toledo, Obio

SIR: There is before me for consideration a report which discloses that you have been absent from duty without permission

and without adequate justification or excuse.

Specifically, the report discloses that on Friday, October 7, 1949, you requested annual leave for the period October 10 to 12, 1949, both dates inclusive, stating that you wished this leave to go on a hunting trip to Deerfield, Pa.; that your official superior informed you that you could not be spared on those dates because of your noncompletion of a special assignment, and requested that you postpone your trip until the following week; that notwithstanding this, you absented yourself from duty on October 10, 11, and 12, 1949, and did not report for duty until October 13, 1949; that upon your return you claimed that on October 8 you had learned that your sister-in-law, who resides at Deerfield, Pa., was ill, and that you made the trip for the purpose of assisting her; and that you later admitted the falsity of this claim.

In view of the foregoing, you are hereby charged with absence from duty without permission for the period October 10 to 12, 1949, both dates inclusive, and you are directed to show cause why you should not be suspended from duty without pay. You will be allowed 5 days from the date of your receipt of this communication, personally to answer the said charge in writing and to submit such affidavits or other evidence as you may care

to have considered in connection with your answer.

Very truly yours,

### AGENCY LETTER OF REPRIMAND AND SUSPENSION (Absence from Duty Without Permission)

Mr. John Doe Clerk Toledo, Ohio

Sir: Careful consideration has been given to the charges preferred against you under date of November 11, 1949, your answer

thereto, and the evidence in support of each.

It has been decided that the charges are sustained. Your action in taking annual leave from October 10 to 12, 1949, both dates inclusive, after your request for such leave was specifically denied by your official superior, was a serious offense which warrants the imposition of a severe penalty. It has been decided, however, to limit disciplinary action in your case at this time to this reprimand, a suspension from duty without pay for the period of your unauthorized absence, and an additional suspension from duty without pay from November 23 to 25, 1949, both dates inclusive. You will be restored to duty with pay effective November 28, 1949. You are warned that a repetition of your offense or other improper conduct on your part will lead to a recommendation for the imposition of a more drastic penalty.

A copy of this letter will be filed in your official personnel

folder.

Very truly yours,

### AGENCY LETTER OF CHARGES

(Falsification of Application for Employment with Respect to a Minor Point)

Mr. Richard Roe Accountant Philadelphia, Pa.

SIR: There is before me for consideration a report which discloses that you falsified an Application for Federal Employment (SF-57) which you executed on June 17, 1949, in connection with your present employment, by answering in the negative the question as to whether you had ever been arrested, convicted, or fined, or ordered to deposit bail or collateral, for the violation of any law, police regulation, or ordinance.

The file discloses further that on October 31, 1944, you were arrested at Atlanta, Ga., on a charge of disturbing the peace,

and that you were fined \$5 and costs.

In view of the foregoing, you are hereby charged with falsification of an application for employment, and you are directed to show cause why you should not be suspended from duty without pay. You will be allowed 5 days from the date of your receipt of this communication, personally to answer the said charge in writing and to submit such affidavits or other evidence as you may care to have considered in connection with your answer.

Very truly yours,

AGENCY LETTER OF REPRIMAND AND SUSPENSION

(Falsification of Application for Employment with Respect to a Minor Point)

MR. RICHARD ROE Accountant Philadelphia, Pa.

Sir: Careful consideration has been given to the charges preferred against you under date of December 2, 1949, your answer

thereto, and the evidence in support of each.

It has been decided that the charges are sustained. The falsification of a Government record is a serious offense which undoubtedly warrants severe disciplinary action. However, in view of your otherwise satisfactory service, it has been decided to limit disciplinary action in your case at this time to this reprimand and a suspension from duty without pay from December 14 to 16, 1949, both dates inclusive. You will be restored to duty with pay effective December 19, 1949, but you are warned that in the future you will be expected to give complete and accurate information on all official records. Failure on your part to do so will result in a recommendation for the imposition of a more drastic penalty.

It should be understood that this disciplinary action is based solely on your falsification of an application for employment,

and not on the offense which led to your arrest.

A copy of this letter will be filed in your official personnel folder.

Very truly yours,

AGENCY LETTER OF REPRIMAND TO SUPERVISORY OFFICIAL

MR. RICHARD ROE Administrative Officer San Francisco, Calif.

SIR: There is before me for consideration a file which discloses that on three occasions during the past 6 months, Mr. John Doe, who is under your immediate supervision, has been under the influence of intoxicating liquor during official working hours, but that you failed to take any action with respect to this improper conduct other than to send the employee home and warn him as to his future conduct.

As a supervisory official you should be familiar with the Department regulations relating to the conduct of employees, and should be well aware of the fact that the regulations require that cases such as this be reported to the agency in order that appropriate disciplinary action may be taken. In neglecting to report this case, you not only failed to comply with the regulations but evaded your responsibility and acted contrary to the best interests of the service.

We cannot overlook this failure on your part to discharge properly the responsibilities of your position, but in view of your otherwise satisfactory record, it has been decided to limit disciplinary action in your case at this time to this reprimand. You are advised, however, that in the future you will be expected to comply fully with the regulations of the Department, and that if you fail to do so, consideration will be given to the imposition of a more severe penalty.

A copy of this letter will be filed in your official personnel

folder.

Very truly yours,

(Chief of Bureau)

### TABLE OF PENALTIES

The following table lists the minimum and maximum penalties that should normally be imposed for first, second, and third offenses involving the types of delinquency or misconduct listed. Deviations from these penalties should be restricted to cases where there are unusual circumstances. The minimum penalties should ordinarily be imposed, but the maximum penalties would be justified if the employee's actions had been unusually serious,

disgraceful, or embarrassing to the Department.

In addition to the penalties listed, an offending employee who is not removed may be placed on disciplinary probation for a specified period—this action requires monthly conduct reports from his official superior. Suspensions may be deferred for a stated probationary period when there are unusual circumstances which justify such action. In such cases the suspension will not be imposed if the employee's conduct is satisfactory during the probationary period. A letter of reprimand must be issued in every case in which a disciplinary suspension is imposed. When an employee is involved in more than one of these types of offenses, his penalty should be at least the minimum penalty listed for the most serious offense he has committed.

### SAMPLE LIST OF OFFENSES Penalty Guide

Delinquency or Misconducy	First Offense	Second Offense	THIRD OFFENSE
1. Fiscal Irregularities:  a. Misappropriation of Government funds, or of other funds which come into an employee's possession by reason of his official	Removal.		
b. Submission of falsely stated travel, payroll, or purchase vouchers, or their supporting documents, if not to conceal personal gain.  c. Submission of falsely stated travel, payroll, or purchase vouchers, or their supporting	Suspension for 1 pay period, to removal. Removal.	Suspension for 2 pay periods, to removal.	Removal.
d. Delayed transmittal of Government funds.	Agency reprimand, to suspension for 2 pay	Suspension for 1 pay period, to removal.	Removal.
e. Failure, through negligence, to account properly for Government funds.	Suspension for 1 to 2 pay periods.	Suspénsion for 2 pay periods, to removal.	Removal.
2. Falsification of records:  a. Falsification of application for employment, or other personal history record, with respect to a material point (one which would have adversely affected selection for appointment).	Removal.		

# SAMPLE LIST OF OFFENSES—Continued Penalty Guide

THIRD OFFENSE		Removal,	Removal.
Second Oppense	Removal.	Suspension for 2 pay periods, to removal.	Suspension for 2 pay periods, to removal. Removal.
First Offense	Agency reprimand, to 5 workdays' suspension.  Suspension for 1 to 2 pay periods.  Suspension for 1 to 2 pay periods.	Reprimand, to suspension for 1 pay period.	Suspension for 1 pay period, to removal.  Suspension for 2 pay periods, to removal.
Delinquency or Misconducy	2. Falsification of records—Continued b. Falsification of application for employment, or other personal history record, with respect to a less important point (one which would not have adversely affected selection for appointment). c. Falsification of other official records or documents. d. Concealment of material facts by omissions from official records.	3. Improper or Excessive Use of Intoxicants: a. Offenses of intoxication on duty, reporting for duty under the influence of intoxicants, or absence from duty for not more than 10 workdays because of intoxication, provided the employee's conduct or absence did not embarrass the Department or seriously interfere	with the work.  b. Offenses as above which did result in embarrassment to the Department or serious interference with its work.  c. Driving Government-owned or Government-leased automobile (or privately owned car on official business) while intoxicated.

Removal.	Removal.									Suspension for 2 pay periods, to removal.
Suspension for period of absence plus additional days to make total of 2	pay periods, to removar. Suspension for period of absence plus 2 pay periods, to removal.							Removal.	Removal.	Suspension for 5 workdays to 1 pay period.
Suspension for period of absence plus additional days to make total of 1	pay period, to removar. Suspension for period of absence plus 1 pay period, to removal.		Removal.	Removal.	Removal.	Removal.		1 month's suspension, to removal.	1 month's suspension, to removal.	Agency reprimand, to suspension for 5 workdays.
(1) For 10 workdays or less	(2) For more than 10 workdays.	4. Criminal, immoral, or notoriously dis- graceful conduct, including convic- tions or forfeitures of bail on charges of sex berversion:	a. Concealing, removing, mutilating, obliterating, falsifying, or destroying Government records.	b. Using Government funds or time to influence Members of Congress to favor or oppose	c. Asking for, accepting, or receiving a bribe.	d. Convictions for other felonies.	5. Misnse of Government-owned or Govern- ment-leased property:	a. Use of or authorizing use of Government-owned or Government-leased passenger-carry-	b. Use of or authorizing use of other Government-leased auto-motive engineers.	c. Personal use of other Government property.

# SAMPLE LIST OF OFFENSES—Continued Penalty Guide

THIRD OFFENSE		Removal.			
Second Offense	Removal.	Suspension for 2 pay periods, to removal.			Removal.
First Offense	Suspension for 2 pay periods, to removal. Suspension for 2 pay periods, to removal.	Suspension for 5 workdays to 2 pay periods.	See ch. 57, title 8, Administrative Regulations, and Federal Personnel Manual.	Removal.	Suspension for 5 work-days to 2 pay periods.
Delinquency or Misconduct	6. Theft:  a. Theft from an establishment to which an employee is assigned to duty.  b. Theft of Government-owned or Government-leased property.	7. Insubordination:  a. Refusal to comply with instructions, or use of abusive or insulting language to official superior.  b. Refusal to accept detail or transfer.	8. Probibited political activity:  a. Engaging in types of political activity prohibited by law or by Civil Service Commission Regulations.	9. Gifts or favors to official superiors: a. Soliciting or making contribution for a gift to an official superior, or acceptance of	such a gift by an official superior.  b. Borrowing money from a subordinate employee or securing his endorsement on a loan.

	Suspension for 2 pay periods, to removal.	Suspension for period of absence plus 20 additional workdays, to removal.	Suspension for 20 workdays, to removal.		
Removal.	Suspension for 1 to 2 pay periods.	Suspension for period of absence plus 5 additional workdays, to suspension for period of absence plus	Suspension for 5 to 10 workdays.		
Secretarial reprimand, to removal.	Agency reprimand, to suspension for 1 pay period.	Suspension for period of absence, to suspension for period of absence plus 5 additional workdays.	Agency reprimand, to suspension for 5 work-days.	Removal.	Removal.
10. Violation of Department regulations prohibiting acceptance of loans, gratuities, favors, etc., from persons, frms, or corporations with whom employees have official relations	11. Neglect of duty:  a. Willful negligence in performing official duties, including failure to follow instructions.	12. Unsatisfactory attendance: a. Absence from duty without permission and without adequate justification.	b. Excessive tardiness without adequate justification.	13. Engaging in a strike against the Government or membership in an organization of Government employees that asserts the right to strike against the Government	14. Membership in any political party or organization that advocates the overthrow of our Constitutional form of government in the United States





